



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Howard W. Lutnick et al.

Application No.: 10/699,859 Confirmation No.: 5126

Filed : October 31, 2003

For : ELECTRONIC SYSTEMS AND METHODS FOR PROVIDING A TRADING INTERFACE WITH ADVANCED FEATURES

Group Art Unit : 3623

New York, New York
February 12, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted:

[] within three months of the application filing date;

[X] more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

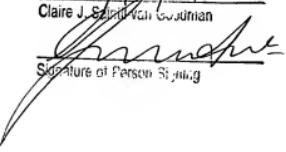
Respectfully submitted,



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(Limited Recognition)
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I hereby certify that this
Correspondence is being
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P.O. Box 1450
Alexandria, VA 22313-1450 on

2/12/04
Claire J. Sappington, Guardian


Signature of Person Signing



CF-78

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 Alexandria, V.A. 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98,
 applicants wish to call the attention of the Examiner to the
 following documents:

U.S. PATENT

Kline	Des. 225,858	(01/09/73)
Gosch	Des. 327,057	(06/16/92)
Busch	Des. 335,660	(05/18/93)
McCausland et al.	5,243,331	(09/07/93)
Axthelm	5,367,298	(11/22/94)
Fraser et al.	5,905,974	(05/18/99)

OTHER DOCUMENTS

Photographs of a Cantor Fitzgerald trading keyboard
 Photographs of a BrokerTec USA, LLC trading keyboard

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./

The aforementioned documents are listed on the accompanying Form PTO-1449 (submitted in duplicate).

It is respectfully requested that these documents be printed on any patent which may issue on this application.

Applicants respectfully request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

The undersigned understands that each of the trading keyboards identified under the heading "OTHER DOCUMENTS" is prior art to the above-identified application.

In addition, applicants wish to call the attention of the Examiner to the following U.S. patent applications:

Gilbert et al.	No. 10/113,841	(03/29/02)
Sweeting	No. 10/171,009	(06/11/02)
Sweeting et al.	No. 10/640,829	(08/13/03)
Sweeting et al.	No. 10/641,196	(08/13/03)
Lutnick et al.	No. 10/699,859	(10/31/03)

Copies of the all of the aforementioned documents are enclosed herewith. It is respectfully requested that these documents be fully considered by the Patent and Trademark Office during examination of this application.

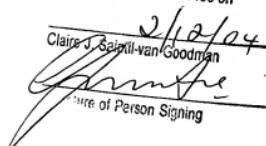
Respectfully submitted,



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Claire J. Saintil-van Goodman


Signature
Name of Person Signing

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-78	APPLICATION NO. 10/699,859
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANTS Howard W. Lutnick et al.	CONFIRMATION NO. 5126
		FILING DATE October 31, 2003	GROUP 3623



U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/MA/	Des. 225,858	01/09/73	Kline	D26	5	
	Des. 327,057	06/16/92	Gosch	D14	115	
	Des. 335,660	05/18/93	Busch	D14	115	
	5,243,331	09/07/93	McCausland et al.	345	172	
	5,367,298	11/22/94	Axthelm	341	22	
	5,905,974	05/18/99	Fraser et al.	705	37	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Photographs of a Cantor Fitzgerald trading keyboard
	Photographs of a BrokerTec USA, LLC trading keyboard
/MA/	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./

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						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
/MA/	Photographs of a Cantor Fitzgerald trading keyboard
/MA/	Photographs of a BrokerTec USA, LLC trading keyboard

09/15/2008
 /Mohamed Ali/ /Hatem Ali/ DATE CONSIDERED 08/31/2007
 EXAMINER

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

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